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U.S. ^D PTO 51129

PTO/SB/05 (11/00) Approved for use through 10/31/2002. OMB 0651-0032
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Attorney Docket No.		4797-86
First Inventor		Lawrence P. Shields
Title	System and Method for Implementing Employee Stock Option and Purchase Plans	
Express Mail Label No.	EK051316698US	

(Only for new nonprovisional applications under 37 CFR 1.53(b))

ADDRESS TO:

See MPEP chapter 600 concerning utility patent application contents.

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i ☐ CD-ROM or CD-R (2 copies); or
 - ii ☐ paper
 - c. ☐ Statements verifying identity of above copies

9. ☒ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Certification of Mailing

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09/779,114
 Prior application information: Examiner: _____ Group Art Unit: _____

19. CORRESPONDENCE ADDRESS

Name	Leslie Gladstone Restaino, Esq.				
	Brown Raysman Millstein Felder & Steiner LLP				
Address	55 Madison Avenue, 4 th Floor				
City	Morristown	State	NJ	Zip Code	07960
Country	USA	Telephone	973-285-3242	Fax	973-285-3262

Name (Print/Type)	Leslie Gladstone Restaino, Esq.	Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie S Restaino</i>	Date	November 2, 2001

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 2650.00

Complete if Known

Application Number	not yet assigned
Filing Date	concurrently herewith
First Named Inventor	Lawrence P. Shields
Examiner Name	
Group Art Unit	
Attorney Docket No.	4797-86

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-4270

Deposit Account Name Brown Raysman Millstein Felder & Steiner LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370	Utility filing fee	740.00
106	330	206 165	Design filing fee	
107	510	207 255	Plant filing fee	
108	740	208 370	Reissue filing fee	
114	160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ 740.00

2. EXTRA CLAIM FEES

	Total Claims	Extra Claims	Fee from below	Fee Paid
Total Claims	62	20** = 51	18.00	918.00
Independent Claims	11	3** = 8	84.00	672.00
Multiple Dependent	21		280.00	280.00

* See below note regarding claims.

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9	Claims in excess of 20
102	84	202 42	Independent claims in excess of 3
104	280	204 140	Multiple dependent claim, if not paid
109	84	209 42	** Reissue independent claims over original patent
110	18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 1870.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Fee Code	Large Entity (\$)	Small Entity (\$)	Fee Description	Fee Paid
105	130	205 65	Surcharge - late filing fee or oath	
127	50	227 25	Surcharge - late provisional filing fee or cover sheet	
139	130	139 130	Non-English specification	
147	2,520	147 2,520	For filing a request for ex parte reexamination	
112	920*	112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115	110	215 55	Extension for reply within first month	
116	400	216 200	Extension for reply within second month	
117	920	217 460	Extension for reply within third month	
118	1,440	218 720	Extension for reply within fourth month	
128	1,960	228 980	Extension for reply within fifth month	
119	320	219 160	Notice of Appeal	
120	320	220 160	Filing a brief in support of an appeal	
121	280	221 140	Request for oral hearing	
138	1,510	138 1,510	Petition to institute a public use proceeding	
140	110	240 55	Petition to revive - unavoidable	
141	1,280	241 640	Petition to revive - unintentional	
142	1,280	242 640	Utility issue fee (or reissue)	
143	460	243 230	Design issue fee	
144	620	244 310	Plant issue fee	
122	130	122 130	Petitions to the Commissioner	
123	50	123 50	Processing fee under 37 CFR 1.17(q)	
126	180	126 180	Submission of Information Disclosure Stmt	
581	40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146	740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370	Request for Continued Examination (RCE)	
169	900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00

SUBMITTED BY

Name (Print/Type)	Leslie Gladstone Restaino	Registration No. (Attorney/Agent)	38,893	Telephone	(973) 285-3242
Signature	Leslie S. Restaino	Date	November 2, 2001		

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* 62 Total claims: 29 dependent, 11 independent, 21 multiple dependent = 71 dependent & 11 independent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Lawrence P. Shields et al.
Attorney Docket No.: 4797-86
For: **System and Method for Implementing
Employee Stock Option and Purchase Plans**


55 Madison Avenue
Morristown, N.J. 07960
November 2, 2001

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EK051316698US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.



Marcy H. Mancuso
(Mailer)